

UTAH DIVISION OF SECURITIES STATISTICS

<u>Enforcement</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>
Complaints Received	233	161	183	206	106	110
Cases Opened	82	86	102	136	112	89
Cases Closed	45	77	103	160	66	73
Administrative Cases						
Cases Filed	20	21	55	37	80	155
Orders to Show Cause	2	2	5	15	25	29
Cease and Desist Orders	1	0	6	5	11	3
Stipulated Settlements	8	8	11	18	22	47
Denials and Revocations	3	7	31	3	14	29
Civil Cases						
Lawsuits filed	0	2	0	0	1	0
Judgements	0	1	0	1	0	1
Criminal Cases						
Criminal Charges Filed	10	18	18	24	50	35
Convictions	3	6	16	23	28	15
Audits	35	40	44	31	20	32
Fines Paid	\$140,465	\$128,850	\$201,650	\$181,026	\$241,200	\$155,620
Funds Recovered or Ordered	\$2,089,034	\$3,818,226	\$3,155,659	\$11,467,399	\$4,256,132	\$7,189,526

<u>Licenses</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>
Broker-Dealers	1,337	1,465	1,641	1,703	1,878	2,304
Broker-Dealer Agents	48,534	57,353	65,838	70,482	84,623	94,715
Investment Advisers	475	102	121	116	121	142
Federal Covered Advisers	@	253	425	428	456	525
I/A Representatives	4,484	5,164	3,326	1,953	1,683	1,937
Certified Dealers	19	16	14	19	21	22
Certified Dealer Agents	94	86	79	88	82	96
Issuer Agents	84	87	93	107	130	169
Total	55,028	64,635	71,496	74,902	88,994	99,910

<u>Securities Filings</u>	<u>FY 96</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>
Registrations						
Coordination	391	290	212	134	148	125
Qualification	2	3	9	5	8	3
Exemptions	489	321	281	223	191	86
Opinion/No-Action Letters	12	14	8	12	6	12
Mutual Funds	3,286	3,610	3,942	3,951	4,215	4,413
Rule 506	*	149	281	327	508	484
Total	4,180	4,387	4,733	4,652	5,076	5,123

@ Prior to FY97, federal covered advisers were investment advisers.

* Prior to FY 97, rule 506 filings were counted under exemptions.